

Following Your Student – Start to Finish

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- I. Student contacts program
- II. Enrollment meeting scheduled
- III. Enrollment consists of:
 - Discussion/counseling with student determining the student's purpose for inquiring about adult education services.
 - Initiating a student file:
 - Start SEOP process (see SEOP form) by gathering demographic information including name, address, etc., in addition to student's information pertinent to labor force status, economic status, institutionalization (if applicable), and literacy program.
 - Administer appropriate assessment(s) to student to establish program type (ESOL, ABE, AHSC), establishing students Entering Functioning Level (EFL) that is used to track all level gains for the fiscal/program year, and to facilitate establishment of the student's short and/or long term goal(s).
 - Complete the student's SEOP:
 - Use the comment section to make notes pertinent to student progress that might include additional information pertaining to goal attainment, accommodations, etc.
 - Have student sign the "Waiver of Release of Information" form.
 - Note: A student's initial EFL is used for a fiscal/program year. A student's level gains are based on the initial EFL. A new assessment must be completed at the beginning of a new fiscal year unless a "pre/post-test" was administered during May or June prior to the beginning of the fiscal year rolling over into the new fiscal/program year establishing the student's EFL.
 - Assign course(s), instructors, etc.
 - All of the above student data must be entered into UTopia for state and federal outcomes.
- IV. Instruction consists of:
 - Teacher/student interaction during class.
 - Counseling pertinent to student progress.
 - Assessment within the confines of the course.
 - Selecting curriculum that is appropriate for adult learners and meets the specific needs of the student.
 - Reassessment of skill(s), at a minimum, after 60 hours of instruction.
 - Continue with instruction; adjust curriculum (as needed).
 - Recording of grades (as needed).
 - Completing individual follow-up survey as stated in Core Follow-Up Outcomes Measurement guidelines.
 - Repeating the process until the student terminates his/her program.
- V. Termination consists of:
 - Student terminating his/her enrollment.
 - Student stopping attendance, not receiving instruction for 90 days, and not being scheduled to receive further instruction.
 - Student obtaining goal(s) and not wanting to continue.
 - Filing the student's record in an "inactive file" for perpetuity.

Maintaining Student Records and Program Assurances

Student Records:

1. Student records may be accessed by USOE, OVAE staff, and financial auditors at any time for program monitoring purposes.
2. Every student's file and the contents listed below are to be maintained in a secure manner.
3. A student file contains all documentation pertinent to the student's education,

The following items are required to be maintained in a student file for perpetuity. (If a program so chooses, student file information may be scanned and stored electronically by the program.)

- Copies of all grades, including report cards and transcripts obtained from outside agencies
- Current cumulative transcript
- Copy of official GED report
- Copies of all pay stubs used for awarding Career and Technical Education or elective credit
- Copies of professional licenses(s) or certificated skill training used for awarding Career and Technical Education credit
- Copy of military Form DD214 used for awarding Healthy Lifestyles or elective credit
- Completed Core Follow-Up Surveys
- Copies of releases of information requesting student record information and/or releasing student record information
- Copy of special education student's most recent special education IEP if the student is under the age of 22
- Outside psychological, psychiatrist or medical documentation used in determining education programming accommodations
- Record of accommodations provided
- Documentation of adult education graduation date

The following items are required to be maintained for the current fiscal/program year in a student's file for auditing and outcome purposes. (If a program so chooses, student file information may be scanned and stored electronically by the program.)

- Current SEOP, including signed or refusal to sign Waiver of Release forms
- All assessment protocol score sheets (pre- and post-tests) used to determine student's EFL and level gains
- Contact hour (non-instructional and instructional) documentation

Program Assurances:

By accepting state or federal funds, programs provide certification that the program will:

- Utilize qualified administrative personnel and instructional staff.
- Provide guidance and mentoring, counseling services.
- Develop effective recruitment and retention strategies.
- Provide adequate facilities, equipment and materials.

- Provide educational services at a reasonable cost/benefit.
- Comply with the Title VI of the Civil Rights Act of 1964 prohibiting discrimination in program benefits, participation, employment, or treatment on the basis of race, color, or national origin, as well as comply with the provisions of Title IX of the Education Amendments of 1972 prohibiting discrimination on the basis of sex.
- Comply with the Family Educational Rights and Privacy Act of 1974.
- Assure that no qualified disabled person shall, on the basis of disability, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity which has received or benefits from Adult Education and Family Literacy Act financial assistance.
- Assure that no person, on the basis of age, provided the person is over 16 years of age, will be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity which receives or benefits from Adult Education and Family Literacy Act financial assistance.
- Actively participate in directors/coordinators/program staff training and meetings as requested by the Utah State Office of Education.
- Assure that all student data is maintained in the adult education statewide database – UTopia.

Additional program assurances that must be maintained include the following:

1. Records or documents related to the grant(s), including student files and submitted reports as required, may be accessed by the USOE and/or OVAE staff and financial auditors at any time for program monitoring purposes.
2. Program operation must be in compliance with all federal rules/regulations and state guidelines.
3. Accountability will be maintained and controlled for all grant activities, property and other assets.
4. Property will be used solely for authorized purposes.
5. Appropriately amended application(s) will be submitted prior to any material change affecting the purpose, administration, organization, budget or operation of the approved project.
6. Funds will only be expended on eligible activities outlined in the Adult Education and Family Literacy Act.
7. Funds will be used only for financial obligations incurred during the period of the grant.
8. State and federal required program data will be collected and entered in Utah's Online Performance Information for Adult Education (UTopia) the state Management Information System (MIS).
9. By accepting federal funds, programs agree to provide state and/or local matching expenditures equal to or greater than the aggregate amount expended during the preceding fiscal year. If this is a first-year project, state and/or local matching will be a minimum of twenty-five percent (25%) of the federal funding per year.
10. Cooperation with programs under the Utah Department of Workforce Services, the Utah State Office of Rehabilitation and the Utah System of Higher Education must take place.

11. The Utah State Board of Education's requirements for demonstrated competencies of speaking, listening, reading, writing, computation (arithmetic), skills in democratic governance, skills as a consumer, problem-solving skills, and career/occupational skills development will be top priorities of the program.
12. Coordination with state and local agencies' reading improvement programs designed to provide reading instruction to adults will be provided for.
13. The state-approved syllabus for English Language/Civics education must be used for the duration of the grant period (EL/Civics only).
14. No expenditure of program funds must be made to any activity or service related to sectarian or religious worship.
15. Reports containing such information as the State Superintendent of Public Instruction and/or OVAE may reasonably require determining the extent to which funds have been effective in carrying out legislative/congressional purposes and project objectives must be prepared.
16. A local program advisory committee/consortium must be maintained involving community representation (including residents) in program development to facilitate delivery of a program that provides students with intensity and rigor. Agendas and minutes of each meeting are to be maintained.
17. Funding applications must be submitted to partnering agencies, the program's advisory committee, local workforce investment board, and providers for comments and/or recommendations prior to submission to the USOE.
18. Requests for federal reimbursement will be submitted quarterly at a minimum, to the Utah State Office of Education.

Validating Disbursement of Utah Adult Education Funds

The following is provided as a guide to assist in the auditing of items to ascertain program outcomes.

Items to Compare

	UTopia	Paper Trail
Enrollees	Utopia verifies	No verification required
Contact Hours	“Student Total Contact Hours” report	1. Verify that classroom “roll books”/teacher-maintained attendance sheets = instructional hours. 2. Verify that documentation (student log) content/purpose of non-instructional hours.
Diploma	“Student Transcript Workup” report “Student Official Transcript” report Review of “Defined Program Screen” – noting the number of credits required for a diploma to be awarded by the specific program	1. Verify that all credits earned or awarded in the student’s file are on the report(s). 2. Verify that the program’s graduation requirements are met. 3. Verify that awarded credit has the required documentation (including Official GED Report if the GED was used for credit) in the student’s file.
Level Gains	Student “SEOP Pre-Filled” report – test history section	Verify that assessment protocols’ face sheets (must include student’s name, date of birth, date of test, test administrator’s name, and raw scores maintained in the student’s file) match what was entered into Utopia.
GED	Student’s “SEOP Pre-Filled” report	1. Verify that a copy of the student’s Official GED Report is in the student’s file. 2. Verify that the GED dates on the official report and the “SEOP Pre-Filled” report match.
Credits	“Student Transcript Workup” report “Student Official Transcript” report	Verify that student’s file contains transcripts from other institutions, GED, and other sources of credit records validating the awarded credits.

Adult Education Program Fiscal Audits

A program audit completed by an independent auditor is required annually to validate program outcomes.

Audits are to be completed annually after June 30th – the end of the program year.

Program director and auditor must reconcile and agree on program outcomes prior to the auditor's submission of the audit findings.

Program audits are annually due directly from the auditor to the USOE –Adult Education Services State Coordinator by September 15th.

Auditors are expected to select and review 5 percent of the program's student files (not to exceed 20 student files), assuring that reported UTopia data is accurate in determining program outcomes.

Costs of program audits are borne by the program.

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